

JUN 02 2005

**TRANSMITTAL  
FORM**

PATENT & TRADEMARK OFFICE  
U.S. DEPARTMENT OF COMMERCE

Application Serial Number	10/810,504
Filing Date	March 26, 2004
First Named Inventor	Krupa
Group Art Unit	2875
Examiner Name	Sawhney, Hargobind
Attorney Docket No.	OPT-007
Patent No.	Not applicable
Issue Date	Not applicable

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input checked="" type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553) <input type="checkbox"/> Formal Drawing(s) <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program <input type="checkbox"/> Amendment After Allowance <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 <input type="checkbox"/> Additional Enclosure(s) (please identify below) <input type="checkbox"/>
<input type="checkbox"/> Amendment/Response <input checked="" type="checkbox"/> Preliminary (6 pgs.) <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]		
<input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Form PTO-1449 <input type="checkbox"/> Copies of IDS Citation Labeled C13		
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above		

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

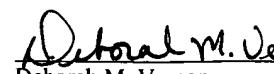
I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 31<sup>st</sup> day of May, 2005.


 Jamie Crystal-Lowry
**CORRESPONDENCE ADDRESS****SIGNATURE BLOCK**

Direct all correspondence to: Patent Administrator  
 Proskauer Rose LLP  
 One International Place  
 22<sup>nd</sup> Floor  
 Boston, MA 02110-2600  
 Tel. No.: (617) 526-9600  
 Fax No.: (617) 526-9899

Date: May 31, 2005  
 Reg. No.: 55,699  
 Tel. No.: (617) 526-9836  
 Fax No.: (617) 526-9899

Respectfully submitted,


 Deborah M. Vernon  
 Agent for the Applicant(s)  
 Proskauer Rose LLP  
 One International Place  
 22<sup>nd</sup> Floor  
 Boston, MA 02110-2600

**FEE TRANSMITTAL**  
**FY 2005**

JUN 02 2005

PATENT & TRADEMARK OFFICE

Complete if Known	
Application Serial Number	10/810,504
Filing Date	March 26, 2004
First Named Inventor	Krupa
Group Art Unit	2875
Examiner Name	Sawhney, Hargobind
Attorney Docket No.	OPT-007

**METHOD OF PAYMENT**

<input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		<b>FEE CALCULATION (continued)</b>																																																																																												
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 50-3081 <input checked="" type="checkbox"/> Required Fees (copy of this sheet enclosed). <input checked="" type="checkbox"/> Additional fee required under 37 CFR 1.16 and 1.17. <input checked="" type="checkbox"/> Overpayment Credit.		<b>4. ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th colspan="2"></th> </tr> <tr> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>130</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>50</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>130</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>2,520</td> <td>2,520</td> <td>Request for ex parte re-examination</td> <td></td> </tr> <tr> <td>120</td> <td>60</td> <td>Extension for reply within 1<sup>st</sup> mo.</td> <td></td> </tr> <tr> <td>450</td> <td>225</td> <td>Extension for reply within 2<sup>nd</sup> mo.</td> <td></td> </tr> <tr> <td>1,020</td> <td>510</td> <td>Extension for reply within 3<sup>rd</sup> mo.</td> <td></td> </tr> <tr> <td>1,590</td> <td>795</td> <td>Extension for reply within 4<sup>th</sup> mo.</td> <td></td> </tr> <tr> <td>2,160</td> <td>1,080</td> <td>Extension for reply within 5<sup>th</sup> mo.</td> <td></td> </tr> <tr> <td>500</td> <td>250</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>500</td> <td>250</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>1,000</td> <td>500</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>400</td> <td>0</td> <td>Petitions to the Director</td> <td></td> </tr> <tr> <td>180</td> <td>180</td> <td>Submission of IDS</td> <td></td> </tr> <tr> <td>790</td> <td>395</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>790</td> <td>395</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td>100</td> <td>100</td> <td>Certificate of Correction for applicant's error</td> <td></td> </tr> <tr> <td>110</td> <td>55</td> <td>Submission of Terminal Disclaimer</td> <td></td> </tr> <tr> <td colspan="2">Other fee (Specify)</td> <td colspan="2"></td> <td></td> </tr> <tr> <td colspan="2">Other fee (Specify)</td> <td colspan="2"></td> <td>4. TOTAL: 0</td> </tr> </tbody> </table>			Large Entity	Small Entity			Fee (\$)	Fee (\$)	Fee Description	Fee Paid	130	65	Surcharge - late filing fee or oath		50	25	Surcharge - late provisional filing fee or cover sheet		130	130	Non-English specification		2,520	2,520	Request for ex parte re-examination		120	60	Extension for reply within 1 <sup>st</sup> mo.		450	225	Extension for reply within 2 <sup>nd</sup> mo.		1,020	510	Extension for reply within 3 <sup>rd</sup> mo.		1,590	795	Extension for reply within 4 <sup>th</sup> mo.		2,160	1,080	Extension for reply within 5 <sup>th</sup> mo.		500	250	Notice of Appeal		500	250	Filing a brief in support of an appeal		1,000	500	Request for oral hearing		400	0	Petitions to the Director		180	180	Submission of IDS		790	395	Filing a submission after final rejection (37 CFR 1.129(a))		790	395	For each additional invention to be examined (37 CFR 1.129(b))		100	100	Certificate of Correction for applicant's error		110	55	Submission of Terminal Disclaimer		Other fee (Specify)					Other fee (Specify)				4. TOTAL: 0
Large Entity	Small Entity																																																																																													
Fee (\$)	Fee (\$)	Fee Description	Fee Paid																																																																																											
130	65	Surcharge - late filing fee or oath																																																																																												
50	25	Surcharge - late provisional filing fee or cover sheet																																																																																												
130	130	Non-English specification																																																																																												
2,520	2,520	Request for ex parte re-examination																																																																																												
120	60	Extension for reply within 1 <sup>st</sup> mo.																																																																																												
450	225	Extension for reply within 2 <sup>nd</sup> mo.																																																																																												
1,020	510	Extension for reply within 3 <sup>rd</sup> mo.																																																																																												
1,590	795	Extension for reply within 4 <sup>th</sup> mo.																																																																																												
2,160	1,080	Extension for reply within 5 <sup>th</sup> mo.																																																																																												
500	250	Notice of Appeal																																																																																												
500	250	Filing a brief in support of an appeal																																																																																												
1,000	500	Request for oral hearing																																																																																												
400	0	Petitions to the Director																																																																																												
180	180	Submission of IDS																																																																																												
790	395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																												
790	395	For each additional invention to be examined (37 CFR 1.129(b))																																																																																												
100	100	Certificate of Correction for applicant's error																																																																																												
110	55	Submission of Terminal Disclaimer																																																																																												
Other fee (Specify)																																																																																														
Other fee (Specify)				4. TOTAL: 0																																																																																										
<b>1. BASIC FILING, SEARCH, AND EXAMINATION FEES</b> <table border="1"> <thead> <tr> <th>Application Type</th> <th>Filing</th> <th>Search</th> <th>Examination</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Utility</td> <td>300</td> <td>500</td> <td>200</td> <td></td> </tr> <tr> <td>Design</td> <td>200</td> <td>100</td> <td>130</td> <td></td> </tr> <tr> <td>Plant</td> <td>200</td> <td>300</td> <td>160</td> <td></td> </tr> <tr> <td>Reissue</td> <td>300</td> <td>500</td> <td>600</td> <td></td> </tr> <tr> <td>Provisional</td> <td>200</td> <td>0</td> <td>0</td> <td></td> </tr> </tbody> </table>		Application Type	Filing	Search	Examination	Fee Paid	Utility	300	500	200		Design	200	100	130		Plant	200	300	160		Reissue	300	500	600		Provisional	200	0	0		<b>FEE CALCULATION</b>																																																														
Application Type	Filing	Search	Examination	Fee Paid																																																																																										
Utility	300	500	200																																																																																											
Design	200	100	130																																																																																											
Plant	200	300	160																																																																																											
Reissue	300	500	600																																																																																											
Provisional	200	0	0																																																																																											
<b>2. EXCESS CLAIM FEES</b> <table border="1"> <thead> <tr> <th></th> <th>Fee</th> <th>Small Entity Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent.</td> <td>50</td> <td>25</td> </tr> <tr> <td>Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent.</td> <td>200</td> <td>100</td> </tr> <tr> <td>Total Claims</td> <td>Extra Claims</td> <td>Fee Paid (\$)</td> </tr> <tr> <td>31</td> <td>- 20 or HP (25)= 6</td> <td>X \$25 = 150</td> </tr> </tbody> </table>			Fee	Small Entity Fee (\$)	Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent.	50	25	Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent.	200	100	Total Claims	Extra Claims	Fee Paid (\$)	31	- 20 or HP (25)= 6	X \$25 = 150	<b>1. TOTAL: 0</b>																																																																													
	Fee	Small Entity Fee (\$)																																																																																												
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent.	50	25																																																																																												
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent.	200	100																																																																																												
Total Claims	Extra Claims	Fee Paid (\$)																																																																																												
31	- 20 or HP (25)= 6	X \$25 = 150																																																																																												
$\text{HP} = \text{highest number of total claim paid for, if great than 20}$ <table border="1"> <thead> <tr> <th>Indep. Claims</th> <th>Extra Claims</th> <th>Fee Paid (\$)</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>- 3 or HP= 2</td> <td>X \$100 = 200</td> </tr> </tbody> </table> $\text{HP} = \text{highest number of total claim paid for, if great than 3}$		Indep. Claims	Extra Claims	Fee Paid (\$)	5	- 3 or HP= 2	X \$100 = 200	<b>2. TOTAL: 350</b>																																																																																						
Indep. Claims	Extra Claims	Fee Paid (\$)																																																																																												
5	- 3 or HP= 2	X \$100 = 200																																																																																												
<b>3. APPLICATION SIZE FEE</b> <p>If the specification and drawing exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).</p> <table border="1"> <thead> <tr> <th>Total Sheets</th> <th>Extra Sheets</th> <th>Additional 50 or fraction thereof</th> <th>Fee (\$)</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>-100 =</td> <td>/50 =</td> <td>round up to a whole number</td> <td>X =</td> <td></td> </tr> </tbody> </table>		Total Sheets	Extra Sheets	Additional 50 or fraction thereof	Fee (\$)	Fee Paid	-100 =	/50 =	round up to a whole number	X =		<b>TOTAL AMOUNT SUBMITTED</b> (\$ 350.00)																																																																																		
Total Sheets	Extra Sheets	Additional 50 or fraction thereof	Fee (\$)	Fee Paid																																																																																										
-100 =	/50 =	round up to a whole number	X =																																																																																											
<b>CORRESPONDENCE ADDRESS</b> <p>Direct all correspondence to:</p> <p>Patent Administrator Proskauer Rose LLP One International Place, 22<sup>nd</sup> Floor Boston, MA 02110 Tel. No.: (617) 526-9600 Fax No.: (617) 526-9899</p>		<b>SIGNATURE BLOCK</b> <p>Respectfully submitted,</p> <p><i>Deborah M. Vernon</i></p> <p>Date: May 31, 2005 Reg. No. 55,699 Tel. No.: (617) 526-9836 Fax No.: (617) 526-9899</p> <p>Deborah M. Vernon Agent for the Applicants Proskauer Rose LLP One International Place 22<sup>nd</sup> Floor Boston, MA 02110</p>																																																																																												



*Jgw*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Krupa et al. CONFIRMATION NO.: 8172  
SERIAL NO.: 10/810,504 GROUP NO.: 2875  
FILING DATE: March 26, 2004 EXAMINER: Sawhney, Hargobind  
TITLE: COMPACT HIGH-EFFICIENCY, HIGH POWER SOLID STATE LIGHT SOURCE USING A SINGLE SOLID STATE LIGHT-EMITTING DEVICE

**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**PRELIMINARY AMENDMENT**

Please enter the following Preliminary Amendment before beginning examination of the above-identified patent application. The Commissioner is hereby authorized to charge \$350.00 in additional claims fees to Attorney's Deposit Account No. 50-3081.

Applicants respectfully request entry of this Preliminary Amendment, in which:

- Amendments to the Claims begin on page 2.
- Remarks begin on page 6.
- Conclusion begins on page 6.

06/02/2005 HVUONG1 00000042 503081 10810504

01 FC:2201 200.00 DA  
02 FC:2202 150.00 DA